OFFICE OF THE VICE PRESIDENT —
LABORATORY MANAGEMENT

OFFICE OF THE PRESIDENT
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Oakland, California 94607-5200

September 28, 2007   *via email*

Ms. Aundra Richards, Manager
U.S. Department of Energy
Berkeley Site Office
1 Cyclotron Road, M/S 90R1023
Berkeley, California 94720

Re: University of California - Management Initiatives for LBNL

Dear Ms. Richards:

The 2005 University of California (UC) proposal to manage Lawrence Berkeley National Laboratory
(LBNL) described 26 management initiatives and improvements developed to improve overall operations
of the Laboratory. Significant progress has been made on all of these initiatives and, consequently,
sustained improvement will continue into the future. As a result of these initiatives, LBNL has enhanced
capabilities for attracting, developing, and retaining world-class scientific personnel; leveraged core
competencies across traditional disciplinary and institutional boundaries; expanded scientific impacts from
user facilities; strengthened key areas of operations and business management; and implemented a new
internal and corporate oversight model. Notable accomplishments as a result of the initiatives are
highlighted in the following paragraphs.

UC has invested resources in construction of dual-use facilities, as the Regents approved the project
planning guides, capital improvement program, and financing for the User Guest House, Computational
Research and Theory Building, and the Helios building as UC-financed construction projects. In addition,
as part of the University of California-led Energy Biosciences Institute collaboration, the Regents approved
funds for an expanded Helios Building.

LBNL has expanded institutional connections and partnerships. Through the Joint Dark Energy
Mission, LBNL partners with SLAC, Fermi Lab, NASA, and several industry partners. The Molecular
Foundry is fully operational and has approved more than 80 proposals from other National Labs,
universities, and private industry. Through the Helios Project, LBNL is partnering with other National Labs
as well as UC Berkeley and the University of Illinois. Other significant collaborative efforts include the
SuperNova/ Acceleration Probe activities, Daya Bay in China, and the Sanford Underground Science and
Engineering Laboratory.

The Lab is on schedule in implementing the three major strategic initiatives: Supply Chain Re-
engineering, Workstation Standardization and Centralization (WS&C), and an Integrated Facilities
Condition Management System (FCMS). The Supply Chain initiative has produced a new desktop
electronic ordering system, eBuy, that has been deployed lab-wide. As the Lab's preferred user-empowered
rapid purchasing delivery system, eBuy enables end users direct access to supplier websites to shop and
make their own buys from supplier catalogs at discount prices, with most deliveries occurring within 24 to

48 hours. The design results in a significantly streamlined acquisition and disbursement process, improved pricing from suppliers, reduced overall cycle times, and improved customer satisfaction. Due to these improvements, the Lab is meeting the proposed cost savings projections for Supply Chain. As a result of the Workstation Standardization and Centralization initiative, primary workstations scheduled for replenishment have been installed, and assurance and security of all windows systems have markedly improved. Lab-wide workstation Total Cost of Ownership, the primary metric for measuring savings due to the WS&C initiative, is trending downward. The Integrated Facilities Condition Management System enhancements align the mission of the LBNL scientific community with efficient custodial management of federal funds. The enhanced program processes improve our ability to effectively manage initiative goals, improve our Asset Condition Index position and achieve high benchmark standards in facilities operational management. Strategic Asset Management improvements are being implemented in facility maintenance prioritization, Rehabilitation and Improvements Cost modeling and communication with the FIMS registry. Implementation of the FCMS initiative is meeting the designed intent and is on schedule.

LBNL's Office of Institutional Assurance (OIA) was established in June 2005 and includes the Project Management Office (PMO) and the Office of Contract Assurance (OCA). PMO leads preparation for technical, scientific, and conventional construction project and program reviews; and led the effort that resulted in Earned Value Management System (EVMS) certification. OCA has developed and implemented Financial Management and ES&H assurance programs; developed a comprehensive Issues Management Program, which includes corrective action tracking and lessons learned; leads LBNL efforts in Contract 31 Performance Evaluation and Measurement Plan (PEMP) development; and monitors and analyzes the Lab's PEMP performance.

Finally, the **UC Office of the President (UCOP) has created a new oversight structure for LBNL**. UCOP appointed a distinguished LBNL Advisory Board with a balance of institutional and scientific backgrounds. The Advisory Board, co-chaired by Norman Augustine (Member, President's Council of Advisors on Science and Technology Policy and Former Chairman and CEO of Lockheed Martin) and Bruce Darling (UCOP's Executive Vice President, University Affairs) has met three times, addressing both scientific and operational programs. The UC Contract Assurance Council, which was established in June 2005 and has met each month since, leverages expertise in the functional organizations of UCOP to support the effective and efficient operation of the Laboratory. The Council, chaired by Robert Foley (UCOP Vice President, Laboratory Management); and comprised of senior officers from UCOP as well as two distinguished external members; provides guidance on a broad range of assurance topics including safety performance, financial management reporting, human resources issues, procurement and property management, emergency management, and construction project management.

When considered collectively, the status of each of the 26 initiatives falls into one of three categories: 1) initiatives with definitive end goals that have been achieved; 2) initiatives that are implemented and institutionalized as part of ongoing Laboratory operations (these initiatives do not have a defined end, but have reached final implementation status); and 3) initiatives that are meeting the projected implementation schedule but require additional time and effort before they are fully integrated and all benefits are realized. Since the new contract went into affect, the Laboratory has provided periodic analyses and status reports of the initiatives to DOE. The attached document formally summarizes and communicates the progress and status of each of the 26 management initiatives.

The initiatives for which the goals are fully achieved are:
- Expand Fellows Program (initiative number 3 in the attached document)
- Develop and Provide Intellectual Property Training (#10)
- Evaluate the UC Intellectual Property Database (#11)

- Formalize LBNL and UC Collaboration on User Facility Strategic Planning and Operations (#13)
- Establish an Institutional Assurance function (#18)
- Develop a Consolidated Corrective Action Tracking Program (#19)
- Pursue Human Resources Systems Accreditation (#21)
- Pursue Project Management Earned Value Certification (#23)
- Establish a Small Business Program Office (#24)
- Implement a New UC Oversight Structure (#26)

The initiatives that have been implemented and institutionalized with ongoing processes are:
- Provide UC Investment in Construction of Dual-Use Facilities (#1)
- Leverage UC Intellectual Resources to Benefit DOE (#2)
- Strengthen Leadership Development (#5)
- Develop a Pipeline for Tracking Students (#6)
- Target UC Funds for New Science and Capabilities (#7)
- Develop Plans and Partnerships to Advance Science Mission and Goals (#8)
- Expand Peer Review (#9)
- Improve the Technology Transfer Marketing Program (#12)
- Institute a Formal Assessment Process to Identify Available Relevant Technologies (#14)
- Implement a Standards Replacement Process (#20)
- Pursue ES&H Certified/ Accredited Systems (#22)
- Achieve Commitments to Small Business Subcontracts (#25)

The initiatives that are on schedule but not fully implemented are:
- Manage Human Capital (#4)
- Standardize Computer Workstations and Centralize Support (#15)
- Implement Integrated Supply Chain Management (#16)
- Implement an Integrated Facilities Condition Management System (#17)

LBNL and the UC Office of the President will continue to monitor implementation of these final four initiatives (numbers 4 and 15-17) to full integration in Laboratory operations. Correspondingly, we will provide periodic updates (at least semiannually) to the Berkeley Site Office.

The other 22 initiatives are either complete or have attained a sustainable and fully institutionalized status, and many of the resulting improvements are inherent in the Laboratory operations monitored in the Performance Evaluation and Measurement Plan. Therefore, we propose that performance of these initiatives will no longer be actively monitored.

Your favorable consideration of this proposal would be appreciated. Please contact the LBNL Office of Institutional Assurance with questions pertaining to these initiatives or the monitoring process.

Sincerely,

for
Ronald A. Nelson, Executive Director
Contracts & Administration

Attachment as noted

Strategic Management Initiatives and Improvements (Updated August 2007)

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes

√ Complete   ● All Milestones Met on Target   ● Not All Milestones Met on Target   ● Significant Concern   π Indicates Series of Milestones to Achieve Target Milestone

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
1	UC Investment in Construction of Dual-Use Facilities	4.3.3	Chartock	Jun-05	On-going	On-going		√	
						Dec-05	General status of UC investment program.		UCOP Leadership and Laboratory leaders conducted meetings during the first and second quarter of FY2006 to discuss the scope and steps of the Dual Use facilities (now described as the UC Bond Funded Capital Plan). Extensive discussions have also been underway between UC Berkeley campus and Laboratory leaders, including meetings with the Laboratory Director and Campus Chancellor, and meetings with UC Deans and Laboratory Deputy Director and Associate Laboratory Directors. The scope of the planning focuses on three buildings, a User Guest House, a Computational Research and Theory Building, and a Nanoscience Research Laboratory. A summary University of California Bond Funded Capital Plan planning document has been completed and used to review and assess the scope, impact and alternative financing assumptions (updated March 15).
						Dec-05	Write business plan for computing building.		Business plan for Computational Research and Theory completed. (See Above)
						Dec-05	Write business plan for Guest House.		Business plan User Guest House has been completed. (See Above)
						March-06	Write business plan for Helios facility		A concise statement of the Helios Facility Business Plan is included in UC Bond Funded Capital Plan. Scoping and Financing discussions are underway. A comprehensive plan will be prepared by the end of the year
						March-06	Financing Model of User Housing approved		$10M in debt capacity has been added to the Berkeley Campus debt limit for the User Housing facility
						November-06	Financing Model of Computational Research and Theory Building approved		In October UCOP included the Helios building in the State Funded Capital Plan and both Helios and the Computational Research and Theory Buildings in the Non-state Funded Capital Plans and submitted them to The Regents for review in the November 2006 meeting. The User Guest House Project Planning Guide was reviewed and approved by The Regents at the November meeting.
						FY 2007	CRT and Helios Project Planning Guides submitted for Regent's Approval		The two remaining Project Planning Guides are planned for submittal to the Regents in FY 2007.
	Final Status		As of FY07 third quarter, Program Planning Guide and financing for Computational Research Center, Helios, and the User Guest House have been approved by The Regents with a total value = $260M.						
2	Leverage UC Intellectual Resources to Benefit DOE	4.3.2	Balder-Froid	On-going	On-going			√	
.							Increase number of UC		Following extensive discussions during the first quarter of

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
							joint appointments.		FY06, the Berkeley Lab managers and UC Berkeley Deans of Physical Science, Engineering, Chemistry, Biology, and Natural Resources, drafted a governance agreement detailing the rationale, process and obligations for joint appointments shared 50/50 between LBNL and UCB. This memo is being reviewed on campus for compliance with academic procedures. As before, joint appointments are targeted in nanoscience, solar to chemical energy, synthetic biology, computing and nuclear engineering, with some potential candidates identified. Helios was an area of emphasis.
							Identify collaborations that would open doors to other agencies.		NIH—UCSF and LBNL are successfully expanding collaborations in cancer biology and biological tomography at the ALS.
									Department of Homeland Security—Collaboration with LLNL on detectors for nuclear nonproliferation
									NASA—large multi-institutional collaboration for the Joint Dark Energy Mission
	Final Status						During FY07, the number of regular jointly appointed faculty scientists has increased by approximately 28 new appointments. This accounts for approximately 14 in nanoscience, and another 14 spread across several divisions. Due to normal attrition and status changes, the total number of joint appointments has increased by approximately 14 since July 1, 2005. LBNL has also expanded collaborations with other agencies, including the National Institutes of Health, Department of Homeland Security, and NASA.		
3	Expand Fellows Program		Reed			Oct- 06		√	
							Identify and extend offers for Lawrence fellows.		Three fellows currently.
							Identify and extend offers for Seaborg fellows.		Added a Seaborg fellow.
							Identify and extend offers for Chamberlain fellows.		Fellow started in Fall 2006 in Physics Division.
	Final Status						LBNL has added fellow in Chemical Sciences, Nuclear Science, Materials Sciences, ALS, and Physics.		
4	Managing Human Capital		Potapenko	Oct-05	On-going			🟢	
							Develop and launch a continuous process to strategically plan for, attract, develop, engage, and retain our top talent.		
					Oct-05	Oct 05	Identify Key, Star, High Performers, Low Performers		During the Division salary reviews with the Laboratory Directory, these categories of staff were identified. The same review process was carried out in Sep-06 and will be an on-going activity.
					Sept-06	Sept-06	Develop a draft framework for Managing Human Capital		Between Jan-06 and Sept-06 a draft framework for managing human capital was developed and discussed with the COO

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					Oct-06	Oct-06	Approval to launch in Ops		The COO approved the launch of the program in Ops. With the hire of our new CHRO in late Oct. 06, the draft framework has evolved into a more comprehensive Human Capital System, which incorporates key elements of the Human framework.
					Feb-07	Mar 07	Present updated Human Capital System to Laboratory management		The Human Capital System has been shared with the Ops Sr. Management in Feb. 2007. It has been shared with the HR Department in Feb 2007 as well. It was shared with Sr. Lab management on 3/8/07.
					Oct-07		Develop a 3-year HR Strategic Plan; discuss and prioritize strategies/plans with senior management		
					Oct-07		Develop and launch a succession planning process for Division Director positions		
					Dec-07		Identify and validate LBNL values and competencies with senior management		
	Final Status		This initiative is on schedule but not fully implemented. LBNL and UCOP will continue to monitor implementation.						
5	**Leadership Development**		**McGraw**	**Aug-05**	**On-going**	**On-going**		√	
						Aug-05	Named Senior Manager of Development and Training.		
					Dec-05	Dec-05	Develop HEERA management training.		Berkeley Lab Institute (BLI) has developed HEERA management (supervisor/ manager responsibility) training.
				Jan-06	On-going	On-going	Provide management and leadership training for Laboratory staff.		BLI began offering classes in Management and Supervisor Development and Leadership Development in January 2006. Development of these classes is on-going, as new classes will continue to be offered in the future.
	Final Status		The Berkeley Lab Institute has developed and initiated management and supervisor development training programs. Courses are provided in four areas: management development, communications, skills development, and supervisor development. This program includes a Management Development Program that targets emerging leaders, each nominated by a Division Director, from across the institution. Management and supervisor training programs will continue to expand in FY08.						
6	**Pipeline for Tracking Students**	**4.1.5**	**Edwards**	**Sept-05**	**On-going**	**On-going**		√	
						Sept-06	Increase to the tracking and evaluation response rate 21%. Used to determine impact on student participants in outreach programs as		Center for Science and Engineering Education (CSEE) has initiated a comprehensive tracking and assessment program for students in CSEE managed mentored research experience programs going back to FY2000. The purpose of the tracking effort is to assess the impact of CSEE managed internships on the academic major, graduate school attendance rates and

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
							related to science knowledge and interest in science and engineering careers.		career choices of the students. Another objective is to track the students to connect them to the applicant pools for future employment at Berkeley Lab. Additional funding for tracking participants in the High School Student Research Participation Program was sought and obtained.
					Sep-06		Train twenty scientists and engineers as presenters in local schools or in tour program.		CSEE has increased and documented the number of scientists and engineers participating in outreach activities through visits to local schools and tours. The total number of science and engineering presenters this year was greater than 20. Training on effective outreach presentations is provided by educational specialists during the outreach activities.
					Sep-06		Support six teachers in use of scientific technology in the classroom.		CSEE has provided professional development internships for 21 teachers in the use of scientific probeware. This was followed by 6 teachers choosing to purchase probeware for their classrooms using funds provided through the DOE sponsored teacher professional development programs run by CSEE.
					Sep-07		Increase to the tracking and evaluation response rate 23%.		The tracking and response rate of students who participated in CSEE managed mentored tracking and assessment programs is 28.2%. The tracking process is integrated in CSEE programs as an ongoing effort. LBNL expects the evaluation response rate will continue to increase.
					Sep-08		Increase to the tracking and evaluation response rate 25%.		
	Final Status	The student tracking process is integrated into CSEE programs, ensuring that the tracking effort will continue in the future. As more students participate in CSEE programs, the response rate should increase. As of September 2007, the response rate is 28.2%, exceeding the September 2008 target of 25%.							
7	**Target UC Funds for New Science and Capabilities**		**Fleming Balder-Froid**	**On-going**	**On-going**			√	
	Final Status	LBNL is using UC-provided funds to invest in new equipment and infrastructure and to add fellowships. As of July 2007 14 Contractor Supporting Research (CSR) projects totaling $1.7M from the UC Contract fee have been added to the intellectual capital available to DOE.							
8	**Development Plans and Partnerships to Advance Science Mission and Goals**		**Chartock Balder-Froid**		**On-going**	**On-going**		√	
							Supernova Acceleration Probe R&D continues; NAS proposal completed by the collaborators		JDEM has collaborative programs with SLAC and Fermi Lab, strategic partnerships with two NASA laboratories - the Goddard Space Flight Center and the Jet Propulsion Laboratory - and maintains industry partnerships with Dalsa Semiconductor, Rockwell, Raytheon, Ball Aerospace, ITT/Kodak and Lockheed, among others. In FY 2007 SNAP collaborators continued with their technical progress and completed their participation in the four National Academy of Sciences Beyond Einstein Program Assessment Committee town hall meetings, and completed their proposal for NAS review.

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							Molecular Foundry program growth; commenced to full operation		The Molecular Foundry dedicates a significant portion of its activities and formidable capabilities to building and disseminating knowledge about nanoscience and technology to users with a wide variety of needs. The Foundry has also established "strategic" partnerships with other National Labs and companies, e.g., Intel and LLNL. In these partnerships, the Foundry and partner institution develop a broad collaboration over a number of areas, for an extensive period of time. The Foundry has completed its transition period and is under full operation for the user community with 49 staff (additional staff continue to be hired). Under full operation, the Foundry has received 125 proposals and 81 have been approved (end of 3rd Quarter FY 2007).
							Helios program proposals supporting plans for growth; successful program awards		LBNL submitted a Basic Energy Sciences proposal on solar based fuels (a proposal for a new program in solar to chemical energy generation and storage.) LBNL continues local informational meetings for state and federal leaders and created an Advisory Committee with a statewide representation on faculty and scientists in CY06. LBNL has been notified that it successfully competed for the award ($1M in FY 2007), with substantial growth indicated by DOE in FY 2008) UCB, in close partnership with LBNL and the University of Illinois Champaign-Urbana (and Stanford), also submitted a proposal to BP for a Energy Biosciences Institute ($500M over 10 years) in CY06. The UCB/LBNL/UICU partnership was notified that it successfully competed for the award in the second quarter FY 2007. LBNL is working with LLNL and SNL and other organizations to develop a Joint Bioengery Instituter (JBEI). A letter of Intent was submitted to the Office of Biological and Environmental Research in December and a complete proposal was submitted at the end of January 2007 ($125M over 5 years). In the 3rd quarter of FY07, DOE notified LBNL that it successfully competed for the award.
	Final Status		Berkeley Lab established strategic partnerships to advance R&D and enhance the knowledge base needed to realize cornerstone projects in science and technology. Through the Joint Dark Energy Mission, LBNL partners with SLAC, Fermi Lab, NASA, and several industry partners. The Molecular Foundry is fully operational and has approved proposals from other National Labs and private industry. The Helios Project involves partnering with other National Labs as well as UC Berkeley and the University of Illinois.						
9	**Expand Peer Review**		**Fleming**		**On-going**	**On-going**		√	
				Jan-06	Jan-06	Jan -06	Completion of EH&S Peer Review.		UC convened a Peer Review Committee (The Committee) January 17, 2006 to January 20, 2006 to review the status of Integrated Safety Management (ISM) at LBNL and to evaluate a few specific issues. These issues included: injury and accident rates, administrative safety controls at the ALS, laser safety, and BSO/ EHS Division communication.
				Apr-06	Apr-06	Apr 06	Completion of Technology Transfer Peer Review.		Peer Review Committee includes prominent tech transfer managers, intellectual property law professionals from research universities, national lab, non-profit institution, and UCOP. Questions to be considered: 1) How well are goals achieved? 2) Is LBNL using Best Practices exemplified by leading organizations? 3) Is TT organization cost effective? 4) Does TT connect effectively with Lab scientists and customers? 5) Does LBNL have a well-defined, realistic plan

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
									for future growth in TT activity? What is required to achieve TT plans?
				Jan-07	Jan-07	Jan-07	Completion of Procurement Department Peer Review.		The Procurement Department underwent a Procurement Evaluation and Reengineering Team (PERT) Review January 8 - 12, 2007. Procurement statistics and information regarding management systems supporting specified Contractor Purchasing System Assurance Criteria (DEAR 970.4402-2) were provided to the PERT. The Review Team interviewed procurement stakeholders and conducted over 60 transaction file reviews for compliance with DOE approved Procurement Standard Practices.
				Mar-07	Mar-07	Mar-07	Completion of Public Affairs Peer Review.		A peer review of Public Affairs was performed in March 2007. The review committee included prominent communications, government/community relations and creative services experts from research universities, national laboratories and the private sector. Questions to be considered: 1) How well is Public Affairs achieving its goals? 2) Is Berkeley Lab using Best Practices as exemplified by leading public affairs organizations? 3)Do we have a cost effective organization with the appropriate organizational structure, staffing level and skill mix? 4) Does the organization connect effectively with the Lab's scientists, staff and our external customers?
	Final Status		The Peer Review process has been expanded to include Operations organizations and functions. Lab management is committed to continuing these reviews during FY08.						
10	**Intellectual Property Training**		**Fragiadakis**	**Sep-05**	**Sep-07**			√	
					May-06	May-06	Create and present seminar series, possibly with Haas School of Business.		Complete: Four seminar series held April-May 2006. Topics included inventing, patents, licensing, and venture capital. Speakers included successful inventors, technology transfer practitioners, business development professionals, patent attorneys, and venture investors.
					Sep-07		Provide web accessible training info on IP and Marketing.		Human Resources is developing a web-based New Employee Orientation training. Intellectual Property Training, including marketing, will be incorporated into this web-based training.
	Final Status		Future Intellectual Property training will be provided as part of New Employee Orientation.						
11	**Intellectual Property Database**		**Fragiadakis**	**Oct-05**	**Feb-09**	**Jan-08**		√	
						Oct-05	Contract mgr hired for TTIMS at UCOP.		
					Jul-07		Database rolled out for UCOP use.		UCOP terminated the contract for development of an enhanced Tech Transfer database for IP management., as the contractor was not meeting the contract specifications. UCOP has since determined that they will not develop an enhanced IP database.
					Jan-08		Program evaluated for use at LBNL.		Due to difficulties with the UCOP contractor, no system was developed. Therefore, LBNL can not evaluate this program.

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
	Final Status						The UCOP contractor failed to develop an enhanced Technology Transfer database that met UCOP expectations. However, DOE BSO feels that the current LBNL system is adequate.		
12	**Marketing Program**		**Fragiadakis**	**Jun-05**	**Oct-10**	**On-going**		√	
					Jun-05	Jun-05	Attended BIO 2005 as part of UC booth.		
					Oct-05	Oct-05	Replace 10% of hard copy promos with email.		As of October 2005, 22% of promos sent out via email.
					Oct-10		Increase web postings by 50%.		
	Final Status						As of August 2007, 92% of all Technology Transfer promotions are distributed by emails and/or web postings. The Lab's implementation of this initiative is well ahead of the target to electronically distribute 50% of Technology Transfer promotions by October 2010.		
13	**Formalize LBNL and UC Collaboration on User Facility Strategic Planning and Operations**	**4.1.2**	**N. Smith Foundry NERSC/ NCEM**					√	
	Final Status						Through the Molecular Foundry, collaboration on user facility operations has been formalized. Users have access to equipment and staff in Affiliated Foundry Laboratories in cases where these laboratories offer capabilities not now available in the facilities. User access to these laboratories is managed in the same manner as access to the Foundry facilities. Users of the Foundry also have facilitated access to other LBNL user facilities, including: • Advanced Light Source • National Energy Research Scientific Computing Center • National Center for Electron Microscopy		
14	**Formal Assessment Process to Identify Available Relevant Technologies**		**T. Hansen**		**On-going**	**On-going**		√	
									Assessment completed for FY06. Report distributed in September 2006 to ESNET, NERSC, 88", ALS, and Molecular Foundry. Process is on-going, as assessment for FY07 is in progress.
	Final Status						The Office of Planning and Development conducts an annual survey of current activities to identify available relevant technologies. This assessment focuses on NERSC, ESnet, ALS, NCEM, Molecular Foundry, Joint Genome Institute and the 88-Inch Cyclotron. The purpose is to bring these activities to the attention of a larger and more cross-disciplinary community of lab scientists and engineers to foster continuous technology enhancement and permit deployment of these technologies at the earliest possible dates. The FY06 and FY07 assessments are complete and reports have been distributed to management of these User facilities.		
15	**Workstation Standardization and Centralization**	**4.2.5**	**Merola**	**Jun-05**	**Jun-10**			🟢	
					Jun-06		Complete baseline of TCO.		TCO measure for FY06 prepared and currently being verified. Comparison with FY05 baseline shows decreased cost per workstation overall.

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
					Sep -06		Complete selection of desktop management software.	Completed	Implementation proceeding: • Automated inventory implemented for Windows and extended include Macs. • Lab Property Review (LPR) piloted for Operations computers and agreement reached to further automate Property database updates from LPR input • Remote control implementation completed. • Upgraded Software Dowload capability implemented, and ability to order purchased software added.
					Sep-06		Complete reorganization of support and first annual cycle of workstation replenishment for Lab Support organizations.	Completed	
					Sept-07		Complete second annual cycle of replenishment for Lab Support organizations.		FY07 workstation replacements in progress
					Sep-07		Complete pilot assessment of application to scientific organizations.		Continued work with Engineering and the Molecular Foundry on workstation standardization and desktop management. Started review with Life Sciences to assess potential application in that division.
					Sep-08		Complete third annual cycle of replenishment for Lab Support organizations.		
					Sep-08		Complete full implementation for Lab Support Organizations.		
	Final Status		This initiative is on schedule but not fully implemented. LBNL and UCOP will continue to monitor implementation.						
16	**Financial Management System: Supply Chain Management**	4.2.5	**Fernandez**	**Jun-05**	**May-09**			🟢	
				Oct-04	Oct-04	Oct-04	Complete analysis of strategic sourcing opportunity and implementation strategy.		Deloitte spend analysis.
				Nov-04	Nov-04	Nov-04	Establish strategic sourcing parameters and plan.		Updated in October 2005.
				Sep-05	Sep-05	Sep-05	Fill CPO and other key positions.		Per project schedule.
				Jun-05	Jun-05	Jun-05	Restructure the Procurement and Property Organizations.		Per project schedule.

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
				Mar-06	Mar-06	Feb-06	Develop supply chain vision, strategy, roadmap and plan.		Per project schedule.
				Mar-06	Apr- 06	May-06	Define data analysis, reporting and metrics.		Per project schedule.
				Dec-06	Dec-06	Jul-06	Design and implement Electronic Ordering System (EOS) -.	Complete	Per project schedule.
				Dec-06	Dec-06	Jul-06	Implement eBuy System Roll out office supplies	Complete	Per project schedule
				Apr-05	Nov -06	Dec-06	Roll out Industrial supplies	100% Complete	Per project schedule
				Apr-05	Jan-07	Jan-07	Roll out Computer Peripherals	100% Complete	Per project schedule
				Apr-05	Apr-07	May-07	Roll out Electronic supplies	100% Complete	Per project schedule
				Apr-05	Jun-07		Roll out desktop computers	90% Complete	Per project schedule
				Apr-05	Aug-07		Roll out Vacuum products	70% Complete	Per project schedule
				Apr-05	Oct-07		Roll out Laboratory supplies	60% complete	
				May-09	π		Complete Supply Chain Management Implementation.	40% Complete	Per project schedule.
				Dec-10	π		Streamline purchasing and supply chain process.	80% Complete	Per project schedule.
				Dec-10	π		Provide EOS training	50% Complete	Per project schedule.
	Final Status		This initiative is on schedule but not fully implemented. LBNL and UCOP will continue to monitor implementation.						
17	**Facilities Management System: Integrated Facilities Condition Management System**	4.2.5	**Merola**	**Jun-05**	**Feb-08**			🟢	
				Mar-05	Apr-05	Apr-05	Add LBNL Defined Deferred Maintenance Requirements to VFA database.	Complete	
				Feb-05	Sep-05	Sep-05	FY05 Quality Assurance	Complete	
				Oct-04	Jul-05	Sep-05	Implementation of VFA AssetFusion Software (VFA-MAXIMO Integration).	Complete	
				Oct-04	Sep-05	Sep-05	FY05 Software and Hosted Licenses.	Complete	

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
				Jan-05	Jan-06	Jan-06	FY05 Facility Condition Assessment Audit.	Complete	Performed In-house FCA on 121 survey points (Trailers and Storage Containers) totaling 62,592 GSF was completed by Jan 27, 2006.
				Feb-05	Dec-06	Dec-05	FY05 Facility Cost Model Development.	Complete	Development of RPV's for Trailers and Storage Containers is completed. Validation process completed.
				Oct-05	May-06	May-06	FY06 Facility Condition Assessment Audit.	Complete	Final revision completed
				Feb-06	Jun-06	Jun-06	OFS Cost Model Development.	Complete	VFA Assessment team has completed OSF assessment. Data is currently being entered into database.
				Dec-05	Jul-06	Jul-06	OFS Condition Assessment.	Complete	VFA Assessment team has completed OSF assessment. All data has been entered into database
				Jun-06	Sep-06	Sep-06	FY06 Quality Assurance.	Complete	FY06 Facility Condition Assessment reviewed by Facilities SME's/RMO's.
				Jan-06	May-06	May-06	Institutional Rehab and Improvement Costs (RIC) Process.	Complete	Analysis complete. Based on LBNL's current process, VFA has recommendations for developing and entering RIC into VFA.facility database in support of the FY07 milestone.
				Nov-06	Mar-06	Mar-06	VFA facilities Software Enhancements for LBNL Local Site Factors.	Complete	
				Oct-05	Sep-06	Sep-05	FY06 Software and Hosted Licenses.	Complete	
				Oct-06	Apr-07	Apr-07	FY07 Facility Condition Assessment Audit.	Complete	
				Oct-06	Mar-07	Jun-07	Enter Institutional Rehab and Improvement Costs (RIC) into VFA facility.	Complete	
				May-07	Aug-07	Aug-07	FY07 Quality Assurance.	Complete	On schedule
				Nov-06	Jan-07	Feb-07	Re-engineer DM Prioritizing Process.	Complete	Delayed one Month due to Senior Management Change
				Mar-07	Jun-07	Sep-07	VFA to FIMS Data Transfer System.	Complete	IFlat file program for date transfer with FIMS will be completed by Sept-07
				Feb-07	Mar-07	Mar-07	Create Performance Indicators Reports.	Complete	
				Oct-06	Sep-07	Jun- 07	FY07 Software and Hosted Licenses.	Complete	VFA Facility and Asset Fusion licenses are valid through 06/01/08.
	Final Status		This initiative is on schedule and nearing final implementation. LBNL and UCOP will continue to monitor implementation.						
18	**Institutional Assurance Function**	**4.2.2**	**Krupnick**	**Jun-05**	**May-06**	**Jun-05**		√	

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
							Contract Assurance and Project Management Offices established by July 1 2006.		
	Final Status					Office of Institutional Assurance was formally established in May 2005. Office of Contract Assurance and Project Management Office are fully staffed.			
19	**Corrective Action Tracking Program**		Chernowski	**Jun-05**	**Ma5-06**	**Dec-05**		√	
							Launch CATS database		
	Final Status					Corrective Action Tracking System (CATS) was launched on December 1 2005. Program is used by all Lab divisions for tracking deficiencies in multiple disciplines, including IT, ES&H, Property Management, Procurement, Financial Management, and Project Management.			
20	**Standards Replacement Process**		Chernowski	**Oct-05**	**On-going**	On-going		√	
					Jan-06	Jan-06	Identify and charter BSO/ LBNL Core Team for STRP.	Complete	Core team has identified and chartered.
					Feb-06	Feb-06	LBNL draft STRP processes/ procedures description.	Complete	STRP drafted and forwarded to BSO. Developed procedure for including DOE directives and orders in Appendix I.
					Apr-06	Apr-06	DOE/ BSO and UCOP/ LMO accept new K31 protocols for Directives administration and replacement.	Complete	Obtained appropriate review and draft approval for both new Directives' contracting process protocols from BSO and UCOP.
					Jun-06	Jun-06	Publish new protocol and post on OCA website.	Complete	Protocol posted on OCA web site.
					Aug-06	Aug-06	Complete a Lab-wide survey of function managers for Directive candidates for CRD replacement with alternative work standards.	Complete	Functional managers surveyed for CRD replacement with alternative work standards.
					Sep-06	Sep-06	Submit FY07 replacement candidates listing and rationale for each to BSO/ CO.	Complete	Two candidates have been identified (DOE Orders 142.3 and 243.1). Plans of action and milestones have been forwarded to BSO and UCOP.
					Sep-07		Final determination on FY07 replacement candidates. Implement approved FY07 replacement candidates		LBNL, BSO, and UCOP to determined that DOE Orders 142.3 and 243.1 would not be tailored. They also determined that the 470 series would be tailored.
					Sep-07		Submit FY08 replacement candidates listing and rationale for each to BSO/ CO.		Tailoring proposal for DOE Order 110.3A (Conference Management) will be submitted by August 1. Standards Replacement Process has been institutionalized and is on-going. Candidates will be identified as new orders

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
									are proposed for contract inclusion and existing orders are modified. This is a more efficient process than an annual call.
	Final Status		Standards Replacement Process is formally established among BSO, UCOP, and LBNL. Tailoring and replacement of orders are considered as newly-issued and revised DOE directives are considered for inclusion C31 Appendix I.						
21	**Human Resources Systems Accreditation**	6.3.1	**Potapenko**		**Sept-07**	**May-07**		√	
					Dec-05	Dec-05	Initial meeting with NAPA, introductions, identification of responsible persons and discussion of plan and timetable.		NAPA met with UC and LBNL representatives (Advisory Group) in December 2005. Meeting of NAPA representatives and Advisory Group scheduled for January 18. NAPA will meet with LBNL HR Leadership Team on January 19.
					Late Spring 2006	May-06	Standards development and refinement		NAPA sent out the revised standards for participant review and input. Berkeley Lab HR managers reviewed the standards and provided input on 8 questions for each standard. This was completed by 5/22/06.
					Summer 2006	July-06	NAPA representatives return to locations for discussion with key personnel. Part of self-assessment process.		Meeting held on 7/20/06
					Summer 2006	August 06	Final draft standards reviewed		Final input submitted to NAPA on 8/11/2006
					Winter 2007	Nov-06	Complete preliminary self_assessment		We submitted our preliminary self-assessment to NAPA on 11/17/06
					Fall 2007	April-07	Complete formal Self-assessment		We completed our formal self-assessment report and submitted it to NAPA on 4/30/07 On May 8-9 2007, an on-site Peer Review was conducted to validate our self-assessment and review our supporting documentation. We are currently waiting for their report-out on our assessment.
	Final Status		Formal self-assessment completed and results were validated in a peer review led by the National Association of Public Administrators. Review determined that the Lab is fully certified in three of six areas: Operations and Program Assurance, Total Compensation and Benefits, and Work Environment and Employee/ Labor Relations. Qualified certification also achieved in three of six areas: HR Strategic Management, Employment and Talent Management, and Training and Development.						
22	**ES&H Certifiable/Accredited Systems**		**Hatayama**	**Oct-05**	**Dec-08**	**On-going**		√	
				Oct-05	Sep-06	Jun-05	Achieve one year Occupational Medicine Program accreditation.		
					Oct-05	Oct-05	Host three year Occ Medicine accreditation audit.		
				Oct-05	Sep-06	Sep-06	Maintain accredited Environmental Management System.		External EMS accreditation audit completed September 2005. Internal EMS audit completed September 2006.
				Oct-06	Sep-07		Maintain accredited Environmental		Internal EMS audit scheduled for September 2007.

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
							Management System.		
					Jan-07 Dec-08		Select and implement Safety and Health Management System.		LBNL is implementing comprehensive improvements to Integrated Safety Management. Improvements include response to two formal external ESH/ ISM reviews that were performed during calendar year 2006. In January 2006, an ISM peer review was performed. In September 2006, McCallum-Turner reviewed the LBNL ISM program. As a result of these reviews, LBNL is implementing a corrective action plan (LBNL ISM CAP). The final corrective actions will be implemented in calendar year 2008. LBNL will not pursue implementation of a certified Safety and Health Management System until the LBNL ISM CAP is fully implemented. LBNL is committed to achieving certification for a Safety and Health Management System on a timeline compatible with these ISM improvements. This commitment will continue to be monitored via the LBNL Operations Risk Registry, which is maintained by the LBNL Office of Institutional Assurance.
	Final Status		LBNL has established certifiable/ accredited systems in Environmental Management, Occupational Medicine, and Emergency Management. Pursuit of a certifiable/ accredited Safety and Health Management System is delayed until ISM Corrective Action Plan is fully implemented. However, LBNL has committed to pursuing a certifiable/ accredited Safety and Health Management System in the FY08 Performance Evaluation Measurement Plan by performing a gap analysis to determine actions required to achieve certification.						
23	**Project Management Earned Value Certification**		**Krupnick**	**Jun-05**	**Dec-05**	**Jan-06**		√	
						Aug-05	Hold DCMA review.		DCMA review found zero CARS.
					Nov-05	Jan-06	OECM validation.		
	Final Status		Earned Value Management System Certification achieved for the Molecular Foundry in January 2006.						
24	**Small Business Program Office**		**Fernandez**	**Nov-04**	**Nov-04**	**Nov-04**		√	
	Final Status		Small Business Program Office formally established within the Procurement Department in November 2004.						
25	**Small Business Subcontract Commitment**	6.2.1	**Fernandez**	**Oct-05**	**Sep-6**	**On-going**		√	(Procurement BSC measure 5.1.a)
					Sep-06	Sep-06	Commitment to achieve 41.3% Small Business Goals.		Original commitment was 50%. Change reflects goals established by DOE HQ. BSO concurs with adjustment to 41.3% for FY06, with annual adjustment in future years. Percent of dollars awarded to small business through end of FY06 is 44.32%
					Sep-07		Commitment to achieve 41.3% Small Business Goals.		Through the first three quarters of FY07, the percent of dollars awarded to small business is 48.6%.
	Final Status		LBNL exceeded the goal in FY06 and will exceed the goal in FY07. Procurement process changes, including increased reliance on eBuy for purchases, ensure that Small Business interests are represented. Implementation of this initiative is on-going and is tracked in PEMP section 6, Procurement Balanced Scorecard measure 5.1.a.						

#	Initiative	PEMP	Initiative Manager	Start	Target End	Completion Date	Milestones	Status	Notes
26	New UC Oversight Structure	4.2.1/ 4.3.1	Hirahara	Jun-05	Dec-05	Apr-06		√	
							Conduct monthly contract assurance council meetings.		Established in June 2005 and has met every month since.
							Conduct regular Oversight Advisory Board meetings.		The Oversight Advisory Board is formed and met in April 2006, December 2006, and May 2007.
	Final Status		The UC Contract Assurance Council meets monthly. The Oversight Advisory Board is fully constituted and is currently in the second year of semi-annual meetings.						